

# NEVADA DEPARTMENTS OF CORRECTIONS

## ADMINISTRATIVE REGULATIONS

### 101

#### DEPARTMENTAL AUDIT PROCESS

**Supersedes:** AR 101 (New)

**Effective Date:** 05/08/08

#### **AUTHORITY:**

NRS 209.111; 209.131

**RESPONSIBILITY:** The implementation of this regulation is the responsibility of the Management Analyst IV, Audits.

**101.01 PURPOSE:** To establish audit procedures to ensure that the Department fulfills its mission which is to “Protect the public by confining convicted felons according to the law, while keeping staff and inmates safe.”

#### **101.02 AUDIT PROCESS**

The operations of the Department should be audited at least once each biennium to determine the effectiveness of policy, procedures and staffing. Audits should be carried out within the financial ability of the Department to support a legitimate audit process. Audits should be conducted unless they would represent a significant disruption to the operations of the institution being audited, or the institution that supplies the auditors. Below is the process of the audit:

##### **1. Audit Goals**

- A. To ensure the facility maintains a high level of security.
- B. To identify physical deficiencies.
- C. To identify weaknesses.
- D. To ensure compliance with Department policy and procedures.
- E. To ensure that resources are being used effectively and efficiently.
- F. To ensure compliance with Environmental and Safety standards.

##### **2. Audit Responsibilities**

- A. Establish the annual schedule of audits.
- B. Ensure Audit Team remains staffed.
- C. Train Audit Team members as needed.
- D. Conduct pre-audit briefings and exit de-briefings.
- E. Coordinate, prepare, and submit all audit reports.
- F. Follow up to ensure corrective action plans are submitted as required.

G. Encourage facilities to conduct self-audits.

**3. Audit Team Composition, Selection and Conduct.**

- A. Two members from each of the Correctional Facilities (AWP and AWO).
- B. One member from each of the Conservation Camps (Lieutenant or Sergeant level).
- C. Must be a volunteer.
- D. Must maintain confidentiality.
- E. Must not affix blame to an individual. Auditors will not report in a way that singles out an individual staff member for blame. However, they shall report immediately a dangerous or life-threatening situation or security breach.
- F. Auditors will give facility management every opportunity to make on-the-spot corrections which will not be annotated on the Final Report.
- G. The size of the audit team at each facility will depend on issues such as:
  - (1) The size of the facility.
  - (2) Complexity of facility operations.
  - (3) Anticipated concerns or issues.
- H. During the audit, the members of the audit team will be assigned responsibilities for specific areas/concerns.

**4. Audit Scheduling.** An Audit schedule will be presented to the Director each September for the following calendar year. In most cases, at least 30 days advance notice will be given to the management of the facility to be audited. The Director may order “no notice” audits of any facility.

**5. Audit Checklists** will be developed for each of the following areas:

- A. Facility Management
- B. Perimeter Management and Security
- C. Physical Facility Management
- D. Operational Security Management
- E. Inmate Management
- F. Inmate Program Services
- G. Incident Management
- H. Environmental Health and Safety Management
- I. Personnel Management
- J. Prison Industries
- K. Gatehouse Procedures
- L. Sally Port Procedures
- M. Control Procedures

**6. Reporting.**

- A. At the end of an audit, team members will gather to discuss the preliminary findings.
- B. The Audit Team leader will present a general summary of audit findings to the facility management at the conclusion of the audit.

- C. Within 5 work days of the completion of the audit, the Audit Team will meet to compose a draft of the audit Findings Report.
- D. Within 10 work days of the completion of the audit, the Management Analyst IV will prepare a final Findings Report which will be sent to the Director and the facility management.
- E. The Findings Report will include process indicators which define how the information was gathered and the results of measuring the specific indicators. The report will also include a determination of any corrective actions needed based on identified deficiencies or recommendations.
- F. The facility management will ensure a corrective action plan is submitted to the Management Analyst IV and the Director within 30 days of the Finding Report.
- G. Facilities in which numerous and serious deficiencies are revealed by an audit will be re-audited within three (3) months of the original audit.

**101.03            APPLICABILITY:**

- 1. The Management Analyst IV, Audits will develop the checklists and applicable forms to carry out the provisions of this regulation.
- 2. This regulation is applicable to all Department personnel.
- 3. This policy does not require an audit.

**101.04            REFERENCES: NRS 353.325**

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Howard Skolnik, Director

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Date